

Rec'd PCT/PTO 10 FEB 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

**Dale Du Bois et al.**

Application No. **10/521,619**

Filed: **July 10, 2003 (International Filing date)**

For: **THERMAL PROCESSING  
SYSTEM AND CONFIGURABLE  
VERTICAL CHAMBER**

Art Unit: *To be assigned*

Examiner: *To be assigned*

Docket No.: **A-71748/MSS (463035-770)**

Date: **February 6, 2006**

Mail Stop MISSING PARTS

Attn: Office of Petitions

Director of the U.S. Patent and Trademark Office

P.O. Box 1450

Alexandria, VA 22313-1450

**PETITION UNDER 37 C.F.R. § 1.47(A)**  
**(INVENTOR'S REFUSAL TO JOIN)**

Sir:

The following is a petition under 37 C.F.R. § 1.47(a) to accept the enclosed Declaration For Patent Application ("Declaration"), which is missing the signature of a joint inventor. A summary of pertinent facts is set forth below.

Please charge our Deposit Account 50-2319 (Order No. A-71748/MSS (463035-770)) in the amount of \$130.00 to cover the petition fee set forth in 37 C.F.R. § 1.17(h). The Director is authorized to charge any underpayment of fees, including any necessary fees for extension of time, and/or credit any overpayment to Deposit Account No. 50-2319 (Order No. A-71748/MSS (463035-770)).

The last known address of the non-signing joint inventor is:

(2/15/2006 MKAYPAGH 00000056 502319 10521619

(1 FC:1464 130.00 DA

Jeffrey Kowalski  
122 Zanzibar Road  
Aptos, California 95003-5541

## STATEMENT OF FACTS

The undersigned prepared and filed the present application. In the present application and in this petition, the undersigned represents the interests of Aviza Technology, Inc. ("Aviza").

Upon information and belief, the subject matter of the present application was conceived and developed by Dale R. Du Bois, Jamie H. Nam, Craig Wildman, Taiquing Qiu, and Jeffrey R. Kowalski ("inventors"). On July 10, 2003, PCT application No. PCT/US2003/021575 was filed, directed to the subject matter and naming all inventors (the PCT Application). The PCT Application claims priority to U.S. Provisional Patent Application Serial Nos. 60/396,536 filed July 15, 2002, and Serial No. 60/428,526 filed November 22, 2002 (the Priority Applications). On January 14, 2005 a United States National Phase application was filed under 35 U.S.C. 371 (the present application). At the time of filing of the PCT Application and the Priority Applications, the inventors were employed by and obligated to assign the invention to ASML U.S., Inc. ("ASML").

Subsequently on October 10, 2003, ASML and its parent company ASML Holding N.V. entered into an Asset Purchase Agreement whereby all of the assets, including patents and patent applications, of the Thermal Division were sold to Thermal Acquisition Corporation. The patents and patent applications were assigned to Thermal Acquisition Corporation as shown in the attached assignment document in Exhibit A. Thermal Acquisition Corp. then changed its name to Aviza on October 15, 2003. See Exhibit B.

On January 14, 2005 and February 7, 2005, the undersigned sent the Declaration and Assignment to Ms. Morgan Libby for execution by the inventors. Ms. Libby is the Intellectual Property Administrator for the Applicant. Joint inventors Dale R. Du Bois, Craig Wildman, Jamie Nam, and Taiquing Qiu, have executed the Declaration. Their signed Declaration is attached. Inventor Jeffrey Kowalski has not executed the Declaration.

Ms. Libby informed the undersigned that Mr. Kowalski no longer is employed by Aviza. Ms. Libby informed the undersigned that she requested Mr. Kowalski sign the Declaration and Assignment associated with the present application but that Mr. Kowalski never returned her call and did not sign the papers. Ms. Libby then requested in January 2006 that the undersigned attorney's office attempt to reach Mr. Kowalski and obtain his signature.

On January 17, 2006 the undersigned sent the Declaration and Assignment to Mr. Kowalski at his last known address for execution. In the letter, Mr. Kowalski was asked to sign and return the Declaration and Assignment by January 27, 2006. On January 17, 2006 the undersigned also telephoned Mr. Kowalski at his last known telephone number and left a message indicating the nature and urgency of the matter and requesting his execution of the Declaration and Assignment that was sent to him on the same day. I informed Mr. Kowalski of the final due date of February 5, 2006.

On January 23, 2006 the undersigned again telephoned Mr. Kowalski. This time the undersigned reached Mr. Kowalski on the phone. Mr. Kowalski acknowledged receipt of the Declaration and Assignment. I again informed Mr. Kowalski of the final due date of February 5, 2006. Mr. Kowalski said that he would review the documents and get back to me.

On January 25, 2006, the undersigned's secretary, Kari Aguiar, telephoned Mr. Kowalski to inquire regarding the status of the Declaration and Assignment. Mr. Kowalski did not answer the phone, Ms. Aguiar left him a message requesting his signature on the Declaration and Assignment.

Mr. Kowalski did not sign and return the Declaration or Assignment, nor return the phone calls. On January 27, 2006 the undersigned again forwarded to Mr. Kowalski the Declaration and the Assignment via Federal Express to the above-mentioned last known address. In the letter, Mr. Kowalski was asked to sign and return the Declaration and Assignment by January 30, 2006. Mr. Kowalski did not sign and return the Declaration or Assignment. Copies of the letters sent to Mr. Kowalski are attached in Exhibit C.

On February 1, 2006, February 3, 2006 and February 6, 2006, telephone calls were made by Ms. Aguiar to Mr. Kowalski requesting his signature on the Declaration and Assignment. Mr. Kowalski did not sign and return the Declaration or Assignment.

Despite these bona fide attempts to present the Declaration and Assignment to Mr. Kowalski for his execution, Mr. Kowalski has not returned a signed copy of the Declaration or Assignment.

Mr. Kowalski is obligated by agreement to assign his entire interest in the subject matter of the present application to ASML, which sold and assigned the entire interest to Aviza.

## CONCLUSION

Applicants respectfully submit that Jeffery Kowalski's conduct constitutes a refusal to join the application and thus Applicants submit this petition under 37 C.F.R. § 1.47(a).

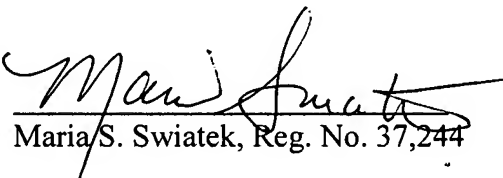
Applicants, that is, joint inventors Dale R. Du Bois, Craig Wildman, Jamie Nam and Taiquing Qiu petition to make this application on behalf of themselves and of the non-signing, joint inventor Jeffrey Kowalski, who refuses to join in the present application.

In accordance with M.P.E.P. § 409.03(a)(A)(2), the Declaration is signed by all available joint inventors with the signature blocks of the non-signing inventor left blank. Applicants petition to have the Declaration be treated as having been signed by all the available joint inventors on behalf of the non-signing inventor.

Applicants respectfully submit that a filing date for the present application is necessary to preserve Applicants' rights, and that denial of this petition would result in irreparable damage to Applicants. In particular, the filing date of the present application is necessary to preserve the claimed benefit of the provisional application.

Respectfully submitted,

Date: February 6, 2006

By:   
Maria S. Swiatek, Reg. No. 37,244

**Customer No. 32940**  
DORSEY & WHITNEY LLP  
555 California Avenue  
Suite 1000  
San Francisco, CA 94104-1513  
Telephone: (415) 781-1989  
Facsimile: (415) 398-3249

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Dale Du Bois et al.

Application No. 10/521,619

Filed: July 10, 2003 (International Filing date)

For: THERMAL PROCESSING SYSTEM  
AND CONFIGURABLE VERTICAL  
CHAMBER

Art Unit: To be assigned

Examiner: To be assigned

Docket No.: A-71748/MSS

February 6, 2006

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450STATEMENT OF FACTS BY MARIA SWIATEK TO SUPPORT  
PETITION UNDER 37 C.F.R. § 1.47(A)

Sir:

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RECEIVED

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14 MAR 2006

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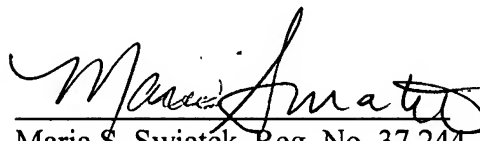
On February 1, 2006, February 3, 2006 and February 6, 2006, telephone calls were made by Ms. Aguiar to Mr. Kowalski requesting his signature on the Declaration and Assignment. Mr. Kowalski did not answer, and Ms. Aguiar left messages each time. On February 6, 2006 I again telephoned Mr. Kowalski requesting his signature of the Declaration and Assignment. Mr. Kowalski did not sign and return the Declaration or Assignment. Mr. Kowalski did not return my call.

Despite these efforts, I have not received the Declaration and Assignment executed by Mr. Kowalski.

Respectfully submitted,

Date: February 6, 2006

By:

  
Maria S. Swiatek, Reg. No. 37,244

Customer No. 32940  
DORSEY & WHITNEY LLP  
555 California Avenue  
Suite 1000  
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Telephone: (415) 781-1989  
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## DECLARATION FOR PATENT APPLICATION

As the below named inventor, I hereby declare that:

My residence, post office address and citizenship is as stated below next to my name;

I believe that I am the original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

### THERMAL PROCESSING SYSTEM AND CONFIGURABLE VERTICAL CHAMBER

the specification of which:

☐ is attached hereto.  
☒ was filed on:  
as Application No.:  
and was amended on:

July 10, 2003

PCT/US2003/021575

(if applicable).

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56.

### Prior Foreign Application(s)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Country	Application Number	Foreign Filing Date (DD/MM/YYYY)	Priority Claimed		Certified Copy Attached	
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>



**Prior Provisional Application(s)**

I hereby claim priority under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

<b>Application Number</b>	<b>Date of Filing (day, month, year)</b>
<b>60/396,536</b>	<b>July 15, 2002</b>
<b>60/428,526</b>	<b>November 22, 2002</b>

**Prior United States Application(s)**

I hereby claim priority under Title 35, United States Code, §120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<b>Application Number</b>	<b>Date of Filing (day, month, year)</b>	<b>Status - Patented, Pending, Abandoned</b>

All correspondence and telephone communications should be addressed to Maria S. Swiatek at the address corresponding to Customer Number 32940 currently: DORSEY & WHITNEY LLP, Intellectual Property Department; Four Embarcadero Center, Suite 3400, San Francisco, California 94111-4187; telephone number (650) 494-8700; facsimile number (650) 494-8771.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine and imprisonment, or both, under 18 U.S.C. § 1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature *Dale R. DuBois* Date 1/26/2005  
Full Name of  
First Inventor: **Du Bois** **Dale** **R.**  
(Family Name) (First Given Name) (Second Given Name)  
Citizenship: US Citizen  
Residence: Los Gatos, California  
Post Office  
Address: 14285 Mulberry Drive  
Los Gatos, California 95032

Signature \_\_\_\_\_ Date \_\_\_\_\_  
Full Name of  
Second Inventor: **Nam** **Jamie** **H.**  
(Family Name) (First Given Name) (Second Given Name)  
Citizenship: US Citizen  
Residence: Scotts Valley, California  
Post Office  
Address: 104 B Saint Augustine Way  
Scotts Valley, California 95066

Signature \_\_\_\_\_ Date \_\_\_\_\_  
Full Name of  
Third Inventor: **Wildman** **Craig** \_\_\_\_\_  
(Family Name) (First Given Name) (Second Given Name)  
Citizenship: US Citizen  
Residence: Sunnyvale, California  
Post Office  
Address: 1729 Karamenos Drive  
Sunnyvale, California 94087

1076472

Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of  
Fourth Inventor: Qiu Taiquing  
(Family Name) (First Given Name) (Second Given Name)

Citizenship: US Citizen

Residence: Los Gatos, California

Post Office  
Address: 135 Riviera Drive, Apt. 328  
Los Gatos, California 95032

Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of  
Fifth Inventor: Kowalski Jeffrey M.  
(Family Name) (First Given Name) (Second Given Name)

Citizenship: US Citizen

Residence: Aptos, California

Post Office  
Address: 122 Zanzibar Road  
Aptos, California 95003

Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of  
Sixth Inventor: \_\_\_\_\_  
(Family Name) (First Given Name) (Second Given Name)

Citizenship: \_\_\_\_\_

Residence: \_\_\_\_\_

Post Office  
Address: \_\_\_\_\_  
\_\_\_\_\_

Attorney Docket No.: A-71748/MSS  
Dorsey & Whitney Docket No. 463035-770  
Serial No.: n/a

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Dorsey & Whitney LLP  
Intellectual Property Department  
Four Embarcadero Center, Suite 3400  
San Francisco, California 94111-4187  
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Signature \_\_\_\_\_ Date \_\_\_\_\_  
Full Name of  
First Inventor: Du Bois Dale R.  
(Family Name) (First Given Name) (Second Given Name)  
Citizenship: US Citizen  
Residence: Los Gatos, California  
Post Office  
Address: 14285 Mulberry Drive  
Los Gatos, California 95032

Signature  Date 2/6/06  
Full Name of  
Second Inventor: Nam Jamie H.  
(Family Name) (First Given Name) (Second Given Name)  
Citizenship: US Citizen  
Residence: Scotts Valley, California  
Post Office  
Address: 104 B Saint Augustine Way  
Scotts Valley, California 95066

Signature \_\_\_\_\_ Date \_\_\_\_\_  
Full Name of  
Third Inventor: Wildman Craig \_\_\_\_\_  
(Family Name) (First Given Name) (Second Given Name)  
Citizenship: US Citizen  
Residence: Sunnyvale, California  
Post Office  
Address: 1729 Karamenos Drive  
Sunnyvale, California 94087

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Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of  
Fourth Inventor: Qiu Taiquing  
(Family Name) (First Given Name) (Second Given Name)

Citizenship: US Citizen

Residence: Los Gatos, California

Post Office  
Address: 135 Riviera Drive, Apt. 328  
Los Gatos, California 95032

Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of  
Fifth Inventor: Kowalski Jeffrey M.  
(Family Name) (First Given Name) (Second Given Name)

Citizenship: US Citizen

Residence: Aptos, California

Post Office  
Address: 122 Zanzibar Road  
Aptos, California 95003

Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of  
Sixth Inventor: \_\_\_\_\_  
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Citizenship: \_\_\_\_\_

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Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of  
First Inventor: Du Bois Dale R.  
(Family Name) (First Given Name) (Second Given Name)

Citizenship: US Citizen

Residence: Los Gatos, California

Post Office  
Address: 14285 Mulberry Drive  
Los Gatos, California 95032


Signature \_\_\_\_\_ Date \_\_\_\_\_

Full Name of  
Second Inventor: Nam Jamie H.  
(Family Name) (First Given Name) (Second Given Name)

Citizenship: US Citizen

Residence: Scotts Valley, California

Post Office  
Address: 104 B Saint Augustine Way  
Scotts Valley, California 95066

Signature  Date 1/27/05

Full Name of  
Third Inventor: Wildman Craig \_\_\_\_\_  
(Family Name) (First Given Name) (Second Given Name)

Citizenship: US Citizen

Residence: Sunnyvale, California

Post Office  
Address: 1729 Karamenos Drive  
Sunnyvale, California 94087

1076472

Attorney Docket No.: A-71748/MSS  
Dorsey & Whitney Docket No. 463035-770  
Serial No.: n/a

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☐ is attached hereto.  
☒ was filed on:  
as Application No.:  
and was amended on:

July 10, 2003  
PCT/US2003/021575  
(if applicable).

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56.

### Prior Foreign Application(s)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Country	Application Number	Foreign Filing Date (DD/MM/YYYY)	Priority Claimed		Certified Copy Attached	
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
			Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Attorney Docket No.: A-71748/MSS  
Dorsey & Whitney Docket No. 463035-770  
Serial No.: n/a

### Prior Provisional Application(s)

I hereby claim priority under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application Number	Date of Filing (day, month, year)
60/396,536	July 15, 2002
60/428,526	November 22, 2002

### Prior United States Application(s)

I hereby claim priority under Title 35, United States Code, §120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number	Date of Filing (day, month, year)	Status - Patented, Pending, Abandoned

All correspondence and telephone communications should be addressed to Maria S. Swiatek at the address corresponding to Customer Number 32940 currently: DORSEY & WHITNEY LLP, Intellectual Property Department; Four Embarcadero Center, Suite 3400, San Francisco, California 94111-4187; telephone number (650) 494-8700; facsimile number (650) 494-8771.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine and imprisonment, or both, under 18 U.S.C. § 1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

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Serial No.: n/a

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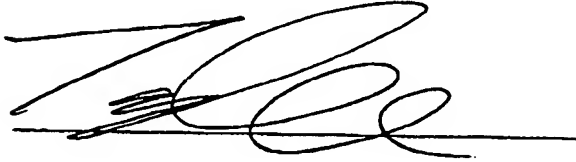
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Dorsey & Whitney Docket No. 463035-770  
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